

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 03.B.002	Application No. 10/666,534
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Kittrell et al.	
		Filing Date September 19, 2003	Group Art Unit 2644 26

## U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
LS	AA	3,879,751	4/22/1975	Gimelli			
	AB	4,914,586	4/3/1990	Swinehart et al.			
	AC	4,949,379	8/14/1990	Cordell			
	AD	5,005,200	4/2/1991	Fischer			
	AE	5,091,975	2/25/1992	Berger et al.			
	AF	5,126,543	6/30/1992	Bergeron et al.			
	AG	5,247,497	9/21/1993	Cohn			
	AH	5,436,972	7/25/1995	Fischer			
	AI	5,544,255	8/6/1996	Smithies et al.			
	AJ	5,577,120	11/19/1996	Penzias			
	AK	5,647,017	7/8/1997	Smithies et al.			
	AL	5,818,955	10/6/1998	Smithies et al.			
	AM	6,091,835	7/18/2000	Smithies et al.			
	AN	6,185,316	2/6/2001	Buffam			
LS	AO	US20020031209	3/14/2002	Smithies et al.			

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AP	9161494	6/20/97	Japan				

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
LS	AQ	UNCITRAL Model Law on Electronic Signatures with Guide to Enactment 2001; United Nations Publication Sales No. E.02.V.8, ISBN 92-1-133653-8, 74 pages. 2001.
	AR	Lisa Broderick et al., "JOHN HANCOCK REINVENTED: Using Keys and Other Handy Things As Electronic Signatures", PenOp, Inc. 1998, pp. 1-8.
	AS	Benjamin Wright, "EGGS IN BASKETS: Distributing the Risks of Electronic Signatures", <a href="http://efa.org/digsig/penop03.txt">http://efa.org/digsig/penop03.txt</a> , June 22, 1995, pp. 1-10.
	AT	Benjamin Wright, "THE LAW OF DIGITAL SIGNATURES", July 2002, pp. 1-8.
LS	AU	ILLINOIS ELECTRONIC COMMERCE SECURITY ACT With Comments - FINAL VERSION, <a href="file:///D:/ecommerce/legis/ill-esca.html">file:///D:/ecommerce/legis/ill-esca.html</a> , 1998, pages 1-49.

Examiner Signature <i>Leonard Saint-Ger</i>	Date Considered <i>05/07/02</i>
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		Filing Date September 19, 2003	Group Art Unit 2644 <u>26</u>

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Examiner Initial	Desig. ID	Document
<u>LS</u>	AV	Department of Health and Human Services, Food and Drug Administration; 21 CFR Part 11, March 20, 1997; pp. 13429-13466.
	AW	Preliminary Specifications for Electronic Mortgage Loan Documentation; June 2001, Freddie Mac. pp. 1-52.
	AX	One Hundred Sixth Congress of the United States of America, Second Session, 01/24/2000, pp. S.761-1 – S.761-13.
	AY	Patricia B. Fry, Drafting Committee Memorandum for April UETA Meeting; 2 pages.
	AZ	Office of Management and Budget, Implementation of the Government Paperwork Elimination Act; <a href="http://www.whitehouse.gov/omb/fedreg/print/gpea2.html">http://www.whitehouse.gov/omb/fedreg/print/gpea2.html</a> . May 2, 2000.
	AAA	Web VoiceID.com; <a href="http://tompritchard.com/voiceid/welcome.html">http://tompritchard.com/voiceid/welcome.html</a> , Copyright 2000-2002, pages 1-3.
	BA	"Records Management Guidance for Agencies Implementing Electronic Signature Technologies", National Archives and Records Administration, Oct. 18, 2000; pp. 1-18.
	BB	Benjamin Wright, Esq., "The Legality of the PenOp® Signature", PenOp Resource Center, Second Edition, 1994, pp. 1-24.
	BC	Kathy Lyons-Burke, "Federal Agency Use of Public Key Technology for Digital Signatures and Authentication", NIST Special Publication 800-25; pp. 1-30. October 2000.
	BD	Benjamin Wright, supplement to "The Law of Electronic Commerce", Little, Brown and Company 1991, 1994 supplement pp. 43-45.
	BE	Benjamin Wright, "CEREMONY™ IS A TIMELY TOOL FOR SATISFYING E-COMMERCE LAWS", PenOp Inc, 2000; 3 pages.
	BF	Selwood Research, Federal Trade Commission, "E-Sign Study – Comment P004102, pp. 1-4. March 16, 2001.
	BG	Misner, Robert L. "Tape Recordings, Business Transactions Via Telephone, and the Statute of Frauds," Iowa Law Review, Vol. 61, pp. 941-964, 1976.
	BH	Congressional Record – Senate, S5284, June 16, 2000.
	BI	Ellis Canning Company v. Arthur J. Bernstein. 348 F. Supp. 1212 (D. Colo. 1972).
	BJ	"Seal-It." J&R Software. <a href="http://www.j-r-software.com">http://www.j-r-software.com</a> . April 4, 2002.
<u>LS</u>	BK	Allen v. Wachtendorf, 962 S.W.2d 279 (Tex.Appl. Corpus Christi 1998)

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U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
LS	ABB	US-2003/0154172	08-2003	Guyan et al.	705	80	
	ACC	US-6,389,402	05-2002	Ginter et al.	705	51	
	ADD	US-6,381,344	04-2002	Smithies et al.	382	115	
	AEE	US-6,209,095	03-2001	Anderson et al.	713	176	
	AFF	US-6,199,049	03-2001	Conde et al.	705	24	
	AGG	US-6,055,552	04-2000	Curry, Bo U.	715	530	
	AHH	US-5,832,464	11-1998	Houvener et al.	705	45	
	ALL	US-4,991,205	02-1991	Lemelson, Jerome H	713	186	
	AJJ	US-2003/0093679	05-2003	Hawkins et al.	713	181	
	AKK	US-2003/0033241	02-2003	Haradi, Adi	705	38	
	ALL	US-2003/0095601	07-2002	Hind et al.	713	201	
	AMM	US-6,802,041	10-2004	Rehm, Peter H	715	500.1	
	ANN	US-6,289,304	09-2001	Grefenstette	704	9	
	AOO	US-2002/0118220	08-2002	Lui et al.	345	709	
	APP	US-2002/0188497	12-2002	Cerwin	705	10	
LS	AQQ	US-5,758,323	05-1998	Case	704	9	

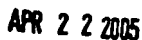
Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes No
	ARR						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
LS	ASS	Balacheff, Boris, et al., "A Trusted Process to Digitally Sign a Document", NSPW '01, Cloudcroft, NM, Sep. 10-13, 2001, pp. 79-86 (plus 3 pages of citation: p. 1 from ACM and pp.2-3 from LOC) [ACM 1-58113-457-6/01/0009].
LS	ATT	Steinauer, Dennis D., et al., "Trust and Traceability in Electronic Commerce", StandardView, Vol. 5, No. 3., Sept. 1997, pp. 118-124.
LS	AUU	Molnar, David, "Signing Electronic Contracts", Crossroads, Vol. 7, Issue 1, Sep. 2000, pp. 1-10 (plus citation page), downloaded from: <a href="http://www.acm.org/crossroads/xrds7-1/contract.html">www.acm.org/crossroads/xrds7-1/contract.html</a> .
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		Filing Date September 19, 2003	Group Art Unit 264126

Other Documents (include Author, Title, Date, and Place of Publication)		
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LS	AVV	Gräther, Wolfgang, et al., "Enhancing Workflows by Web Technology", GROUP '97, Phoenix, AZ, 1997, pp. 271-280 [ACM 0-89791-897-5/97/11].
	AWW	Cole, James, et al., "Extending Support for Contracts in ebXML", Australian Computer Science Communications, Vol. 23, Issue 6, Jan. 2001, pp. 119-127 (plus citation page) [IEEE 0-7695-0960-6/01].
	AXX	Lemay Laura, "Teach Yourself Web Publishing with HTML 4 in 14 days," 2 <sup>nd</sup> Professional Reference Edition, Sams.net Publishing, Indianapolis, IN, © 1997, pp. 99-105, 248-257 and 265.
	AYY	Thimm, Heiko, "The Enhanced CSCW Teleservice for Wide Area Cooperative Authoring of Multimedia Documents", SIGOIS Bulletin, Vol. 15 No. 2, Dec. 1994, pp. 49-57.
	AZZ	Mukhopadhyay, Sugata, et al., "Passive Capture and Structuring of Lectures", ACM Multimedia '99, Orlando, FL, Oct. 1999, pp. 477-487 [ACM 1-58113-151-8/99/0010].
	AAAA	Ströbel, Michael, "Communication Design for Electronic Negotiations on the Basis of XML Schema," WWW 10, Hong Kong, May 1-5, 2001, pp. 9-20 [ACM 1-58113-348-0/01/0005].
LS	ABBB	Asokan, N., et al., "Optimistic Protocols for Fair Exchange", Fourth ACM Conference on Computer and Communications Security, Zurich, Switzerland, © 1997, pp. 7-17 (plus citation page) [ISBN 0-89791-912-2].

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Substitute for form 1449/PTO

*(Use as many sheets as necessary)*

**Complete if Known**

Application Number	10/214,444
Filing Date	August 8, 2002
First Named Inventor	Clayton KITTRELL
Art Unit	2645 26
Examiner Name	Simon P. Sing
Attorney Docket Number	04.B.001US

Sheet	1	of	2
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## U. S. PATENT DOCUMENTS

LS

## FOREIGN PATENT DOCUMENTS

1

**Examiner  
Signature**

Leonard Saint-Cyr

Date  
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05/07/07

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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First Named Inventor	Clayton KITTRELL
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Art Unit	2645 26
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Examiner Name	Simon P. Singh
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Attorney Docket Number	04.B.001US
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Sheet	2	of	2
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## NON PATENT LITERATURE DOCUMENTS

[illegible]

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<b>Information Disclosure Statement</b> by Applicant (Use several sheets if necessary)		Applicant <b>Kittrell et al.</b>	
		Filing Date <b>August 8, 2002</b>	Group Art Unit <b>2645 26</b>

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	AA	3,879,751	4/22/75	Gimelli			
	AB	4,914,586	4/3/90	Swinehart et al.			
	AC	4,949,379	8/14/90	Cordell			
	AD	5,005,200	4/2/91	Fischer			
	AE	5,091,975	2/25/92	Berger et al.			
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	AR	Benjamin Wright, "EGGS IN BASKETS: Distributing the Risks of Electronic Signatures", <a href="http://efa.org/digesig/penop03.txt">http://efa.org/digesig/penop03.txt</a> , June 22, 1995, pp. 1-10.
	AS	Benjamin Wright, "THE LAW OF DIGITAL SIGNATURES", July 2002, pp. 1-8.
	AT	ILLINOIS ELECTRONIC COMMERCE SECURITY ACT With Comments - FINAL VERSION, <a href="file:///D:/ecommerce/legis/ill-esca.html">file:///D:/ecommerce/legis/ill-esca.html</a> , 1998, pages 1-49.

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	AZ	Web VoiceID.com; <a href="http://tompriehard.com/voiceid/welcome.html">http://tompriehard.com/voiceid/welcome.html</a> , Copyright 2000-2002, pages 1-3.
	BA	"Records Management Guidance for Agencies Implementing Electronic Signature Technologies", National Archives and Records Administration, Oct. 18, 2000; pp. 1-18.
	BB	Benjamin Wright, Esq., "The Legality of the PenOp® Signature", PenOp Resource Center, Second Edition, 1994, pp. 1-24.
	BC	Kathy Lyons-Burke, "Federal Agency Use of Public Key Technology for Digital Signatures and Authentication", NIST Special Publication 800-25; pp. 1-30. October 2000.
	BD	Benjamin Wright, supplement to "The Law of Electronic Commerce", Little, Brown and Company 1991, 1994 supplement pp. 43-45.
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	BF	Selwood Research, Federal Trade Commission, "E-Sign Study – Comment P004102, pp. 1-4. March 16, 2001.
	BG	Misner, Robert L. "Tape Recordings, Business Transactions Via Telephone, and the Statute of Frauds," Iowa Law Review, Vol. 61, pp. 941-964, 1976.
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